

**REMARKS**

Claims 1-95 is/are pending.

By virtue of a previous response, Claims 69-90 and 93 were withdrawn from consideration.

Therefore, Claims 1-68, 91-92 and 94-95 are presently pending for consideration.

Amendment and cancellation of certain claims is not to be construed as a dedication to the public of any of the subject matter of the claims as previously presented.

No new matter is added.

**Claim Rejection under 35 U.S.C § 102 of Claims 1-5, 9-15, 23-28, 32-39, 46-51, 55-61, 91-92 and 94-95.**

On page 2 of the Office Action, Claims 1-5, 9-15, 23-28, 32-39, 46-51, 55-61, 91-92 and 94-95 are rejected under 35 U.S.C. § 102 as allegedly being anticipated by Nasshan et al. (EP0876008) (hereinafter "Nasshan"). Applicants are traversing this rejection.

The application presently contains five independent claims, namely Claims 1, 24, 47, 94 and 95.

Each of independent Claims 1, 24 and 47 recites, inter alia (emphasis added):

*"...supporting of a plurality of chip rates* in a code division multiple access (CDMA) system between a plurality of user equipment (UE) sharing a plurality of timeslots in a frame ... comprising:

allocating to a UE at least a first timeslot of the plurality of timeslots in the frame at a first chip rate of the plurality of chip rates *based on a chip rate capability of the UE on a per timeslot basis.*"

Each of independent Claims 94 and 95 recites, inter alia (emphasis added):

“...**supporting of a plurality of chip rates** in a code division multiple access (CDMA) system between a plurality of user equipment (UE) sharing a plurality of timeslots in a frame ... comprising:

allocating to a UE at least a first timeslot of the plurality of timeslots in the frame at a first chip rate of the plurality of chip rates ***based on a chip rate capability of the UE on a per frame basis.***”

Applicants submit that Nasshan does not disclose or suggest each of the above elements of independent Claims 1, 24, 47, 94 or 95.

The Office Action suggests that Nasshan, in fig. 3, fig. 4, fig. 5, abstract, col.2, line 43 to col. 3, line 15, col. 5, lines 28-37, col. 5, line 48 to col. 6, line 3, and col. 6, lines 42-58 discloses “allocating to a UE at least a first timeslot of the plurality of timeslots in the frame at a first chip rate of the plurality of chip rates ***based on a chip rate capability of the UE on a per timeslot basis***” in accordance with Claims 1, 24, 47, 94 and 95.

In response, Applicants respectfully disagree.

A skilled person understands that Nasshan teaches a method for adapting a data rate of a TDMA/CDMA communication system (see abstract). More particularly, Nasshan teaches a method for adapting a data rate of a TDMA/CDMA communication system through ***varying either a spreading factor*** in a code division multiple access (CDMA) communication system and/or a ***number of time slots***. Fig. 3 and fig. 4 describe frame structures that disclose communication links supporting different ‘***bit rates***’. Furthermore, according at least to Fig. 5 a skilled person is taught that the ***spreading factor*** can be varied on a timeslot by timeslot basis. In col.2, line 43 to col. 3, line 15 of Nasshan, a signalling mechanism for updating a ***spreading factor Q*** and/or a ***number of time slots*** to provide a new bit rate used in a communication link is described. Similarly, in col. 5, lines 28-37 of Nasshan, a signalling mechanism for changing the

*number of time slots and the number of codes* in order to provide a new bit rate used in a communication link is described. Similarly, in col. 5, line 48 to col. 6, line 3 of Nasshan, a signalling mechanism for updating a *number of time slots* and/or providing more CDMA codes to provide a new bit rate used in a communication link is described. Similarly, in col. 5, line 48 to col. 6, line 3 of Nasshan, the aforementioned signalling mechanism is further described in the varying of a *spreading factor Q* and/or a *number of time slots* to provide a new bit rate used in a communication link is described.

A skilled person readily understands that in a CDMA system *chip rate* is a totally different concept as compared to the *spreading factor* and the *bit rate/data rate* and further that a direct inter-relationship between these concepts does not exist. In order to clarify this fact, it seems appropriate to refer to the third generation partnership project (3GPP) standard (3GPP TS. 25.201 v6.2.0)<sup>1</sup>, the relevant section of which is reproduced below:

*“4.2.1 Multiple Access*

*The access scheme is Direct-Sequence Code Division Multiple Access (DS-CDMA) with information either spread over approximately 5 MHz (FDD and 3.84 Mcps TDD) bandwidth, thus also often denoted as Wideband CDMA (WCDMA) due that nature. or 1.6MHz (1.28Mcps TDD), thus also often denoted as Narrowband CDMA. UTRA has two modes, FDD (Frequency Division Duplex) & TDD (Time Division Duplex), for operating with paired and unpaired bands respectively. The possibility to operate in either FDD or TDD mode allows for efficient utilisation of the available spectrum according to the frequency allocation in different regions. FDD and TDD modes are defined as follows:*

*FDD: A duplex method whereby uplink and downlink transmissions use two separated radio frequencies. In the FDD, each uplink and downlink uses the different frequency band. A pair of frequency bands which have specified separation shall be assigned for the system.*

*TDD: A duplex method whereby uplink and downlink transmissions are carried over same radio frequency by using synchronised time intervals. In the TDD,*

---

<sup>1</sup> A copy of which is included herewith as an appendix to this submission.

*time slots in a physical channel are divided into transmission and reception part. Information on uplink and downlink are transmitted reciprocally.*

*UTRA TDD has two options, the 3.84Mcps option and the 1.28Mcps option. In UTRA TDD there is TDMA component in the multiple access in addition to DS-CDMA. Thus the multiple access has been also often denoted as TDMA/CDMA due added TDMA nature."*

Thus, the above text clarifies that **3GPP supports different chip rates (e.g. 1.28Mcps and 3.84Mcps)**. The relevant section of TS. 25.201 v6.2.0 then proceeds as follows:

*"A 10 ms radio frame is divided into 15 slots (2560 chip/slot at the chip rate 3.84 Mcps). A physical channel is therefore defined as a code (or number of codes) and additionally in TDD mode the sequence of time slots completes the definition of a physical channel. In FDD, for HS-DSCH, E-DCH and associated signalling channels, 2ms sub-frames consisting of 3 slots are defined.*

*The information rate of the channel varies with the symbol rate being derived from the 3.84 Mcps chip rate and the spreading factor. Spreading factors are from 256 to 2 with FDD uplink, from 512 to 4 with FDD downlink, and from 16 to 1 for TDD uplink and downlink. Thus the respective modulation symbol rates vary from 1920 k symbols/s to 15 k symbols/s (7.5 k symbols/s) for FDD uplink (downlink), and for TDD the momentary modulation symbol rates shall vary from 3.84 M symbols/s to 240 k symbols/s."*

Thus, the above text from the 3GPP standard clarifies that the **information rate and the symbol rate vary with the spreading factor**, as is also described in Nasshan. For example, for TDD the spreading factor varies from 16 to 1 at the 3.84Mcps chip rate. The symbol rate then varies from 3.84Mcps / 16 = 240 ksymbols / sec to 3.84Mcps / 1 = 3.84 Msymbols / sec. It is known that the information rate is derived from the symbol rate as:

Information rate = symbol rate \* bits per symbol \* code rate  
e.g. for a spreading factor of 16 with 16QAM (4 bits per symbol) and code rate 1/2, the information rate is:

$$\text{information rate} = 240 \text{ ksymbols/sec} * 4 * 0.5 = 480 \text{ kbps}$$

Hence, there is a direct relationship between spreading factor and symbol rate, but **NOT** chip rate. The relevant section of TS. 25.201 v6.2.0 then proceeds as follows:

*"For 1.28Mcps TDD option, a 10 ms radio frame is divided into two 5ms sub-frames. In each sub-frame, there are 7 normal time slots and 3 special time slots. A basic physical channel is therefore characterised by the frequency, code and time slot.*

*The information rate of the channel varies with the symbol rate being derived from the 1.28 Mcps chiprate and the spreading factor. Spreading factors is from 16 to 1 for both uplink and downlink. Thus the respective modulation symbol rates shall vary from 80.0K symbols/s to 1.28M symbols/s.*

Thus, the above text clarifies that, in 3GPP and using the same chip rate, it is possible to apply a varying spreading factor, e.g. spreading factor 16 to a 1.28Mcps system, to achieve a varying symbol rate, e.g. a symbol rate of  $1.28 \text{ Mcps} / 16 = 80 \text{ ksymbols} / \text{sec}$ .

The above reference clarifies that, in a CDMA system, **chip rate is a totally different concept as compared to the spreading factor and the data rate**. It is pertinent now to consider a key section in Nasshan (in col. 5, lines 19-23), where Nasshan explicitly states:

*"The CDMA codes c consist of chips of constant length Tchip wherein Q chips spread one data symbol of duration Tsym. The CDMA codes c are also known on the receiver side so that despreading and user separation can be performed."*

Thus, although Nasshan has as an objective of **adapting a data rate**, Nasshan explicitly states that the chips that are under consideration for **adapting the data rate** have a **"constant length Tchip"**. A skilled person understands that as the **chip length is constant**, the **chip rate must also be constant** for the chips under consideration in the system disclosed by Nasshan.

Thereafter, Nasshan discloses to a skilled person (notably using a single chip rate) that the data/bit rate of the system can be varied by either:

“*changing the number of timeslots* and CDMA codes assigned to a user (col. 5, lines 34-37)” or

“*variation of the spreading factor* with a constant chip rate (or chip duration, which is reciprocally related to chip rate): col. 5, lines 38-47.”

As demonstrated above, however, varying such parameters does not equate with different chip rates.

Hence, the suggestion in the Office Action that Nasshan discloses “...*supporting of a plurality of chip rates* in a code division multiple access (CDMA) system” of Claims 1, 24, 47, 94 and 95 is technically incorrect.

Furthermore, Nasshan fails to disclose any mechanism that is able to change the *chip rate* between timeslots or frames in order to support a plurality of chip rates. In contrast, Nasshan discloses a mechanism where the spreading factor of a code can be changed between time slots. This, however, has no relationship whatsoever with chip rates.

Hence, Nasshan fails to disclose the feature of Claims 1, 24 and 47 of: “allocating to a UE at least a first timeslot of the plurality of timeslots in the frame at a first chip rate of the plurality of chip rates *based on a chip rate capability of the UE on a per timeslot basis*.”

Therefore, the suggestion in the Office Action that Nasshan also discloses “...allocating to a UE at least a first timeslot of the plurality of timeslots in the frame at a first chip rate of the plurality of chip rates *based on a chip rate capability of the UE on a per timeslot basis*” of Claims 1, 24 and 47 is also technically incorrect.

Furthermore, Nasshan fails to disclose the feature of Claims 94 and 95 of: “allocating to a UE at least a first timeslot of the plurality of timeslots in the frame at a first chip rate of the plurality of chip rates *based on a chip rate capability of the UE on a per frame basis*.”

Hence, the suggestion in the Office Action that Nasshan also discloses “...allocating to a UE at least a first timeslot of the plurality of timeslots in the frame at a first chip rate of the

plurality of chip rates *based on a chip rate capability of the UE on a per frame basis*" of Claims 94 and 95 is also technically incorrect.

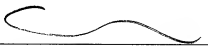
For at least the reason that each of Claims 2-5, 9-15, 23, 25-28, 32-39, 46, 48-51, 55-61, and 91-92 depend from one of allowable base Claims 1, 24, or 47, the dependent Claims are also allowable over Nasshan. While the applicant believes that other arguments are available to highlight the allowable subject matter presented in various ones of these dependent claims, the applicant also believes that the comments set forth herein regarding allowability of the independent claims are sufficiently compelling to warrant present exclusion of such additional points for the sake of brevity and expedited consideration. Applicants respectfully request reconsideration and allowance of Claims 2-5, 9-15, 23, 25-28, 32-39, 46, 48-51, 55-61, and 91-92.

Accordingly, Applicants respectfully request reconsideration and allowance of Claims 1-68, 91-92 and 94-95.

The case is believed to be in condition for allowance and notice to such effect is respectfully requested. If the Examiner should have any other points of concern, the Examiner is expressly invited to contact the undersigned by telephone to discuss those concerns and to seek an amicable resolution.

Respectfully submitted,  
FITCH, EVEN, TABIN & FLANNERY

Dated: 11/24/2009

  
Steven G. Parmelee  
Registration No. 28,790

120 South LaSalle Street, Suite 1600  
Chicago, Illinois 60603-3406  
Telephone (312) 577-7000  
Facsimile (312) 577-7007

**3rd Generation Partnership Project;  
Technical Specification Group Radio Access Network;  
Physical layer - General description  
(Release 6)**



The present document has been developed within the 3<sup>rd</sup> Generation Partnership Project (3GPP™) and may be further elaborated for the purposes of 3GPP.

The present document has not been subject to any approval process by the 3GPP Organisational Partners and shall not be implemented.

This Specification is provided for future development work within 3GPP only. The Organisational Partners accept no liability for any use of this Specification. Specifications and reports for implementation of the 3GPP™ system should be obtained via the 3GPP Organisational Partners' Publications Offices.

---

Keywords

UMTS, radio, layer 1

---

**3GPP**

---

Postal address

---

3GPP support office address

650 Route des Lucioles - Sophia Antipolis  
Valbonne - FRANCE  
Tel.: +33 4 92 94 42 00 Fax: +33 4 93 65 47 16

---

Internet

<http://www.3gpp.org>

---

---

**Copyright Notification**

---

No part may be reproduced except as authorized by written permission.  
The copyright and the foregoing restriction extend to reproduction in all media.

© 2005, 3GPP Organizational Partners (ARIB, ATIS, CCSA, ETSI, TTA, TTC).  
All rights reserved.

# Contents

Foreword .....	4
1 Scope .....	5
2 References .....	5
3 Abbreviations.....	6
4 General description of Layer 1 .....	6
4.1 Relation to other layers.....	6
4.1.1 General Protocol Architecture.....	6
4.1.2 Service provided to higher layers.....	7
4.2 General description of Layer 1 .....	8
4.2.1 Multiple Access .....	8
4.2.2 Channel coding and interleaving.....	8
4.2.3 Modulation and spreading.....	9
4.2.4 Physical layer procedures.....	9
4.2.5 Physical layer measurements .....	9
4.2.6 Relationship of the physical layer functions .....	10
5 Document structure of physical layer specification.....	10
5.1 Overview .....	10
5.2 TS 25.201: Physical layer – General description.....	10
5.3 TS 25.211: Physical channels and mapping of transport channels onto physical channels (FDD) .....	11
5.4 TS 25.212: Multiplexing and channel coding (FDD) .....	11
5.5 TS 25.213: Spreading and modulation (FDD).....	11
5.6 TS 25.214: Physical layer procedures (FDD) .....	11
5.7 TS 25.215: Physical layer – Measurements (FDD) .....	12
5.8 TS 25.221: Physical channels and mapping of transport channels onto physical channels (TDD).....	12
5.9 TS 25.222: Multiplexing and channel coding (TDD) .....	12
5.10 TS 25.223: Spreading and modulation (TDD).....	12
5.11 TS 25.224: Physical layer procedures (TDD).....	12
5.12 TS 25.225: Physical layer – Measurements (TDD).....	13
5.13 TR 25.833: Physical layer items not for inclusion in Release '99.....	13
5.14 TR 25.944: Channel coding and multiplexing examples .....	13
<b>Annex A (informative): Preferred mathematical notations .....</b>	<b>14</b>
<b>Annex B (informative): Change history.....</b>	<b>15</b>

---

## Foreword

This Technical Specification (TS) has been produced by the 3<sup>rd</sup> Generation Partnership Project (3GPP).

The contents of the present document are subject to continuing work within the TSG and may change following formal TSG approval. Should the TSG modify the contents of the present document, it will be re-released by the TSG with an identifying change of release date and an increase in version number as follows:

Version x.y.z

where:

- x the first digit:
  - 1 presented to TSG for information;
  - 2 presented to TSG for approval;
  - 3 or greater indicates TSG approved document under change control.
- y the second digit is incremented for all changes of substance, i.e. technical enhancements, corrections, updates, etc.
- z the third digit is incremented when editorial only changes have been incorporated in the document.

---

## 1 Scope

The present document describes a general description of the physical layer of the UTRA radio interface. The present document also describes the document structure of the 3GPP physical layer specifications, i.e. TS 25.200 series. The TS 25.200 series specifies the Uu point for the 3G mobile system, and defines the minimum level of specifications required for basic connections in terms of mutual connectivity and compatibility.

---

## 2 References

The following documents contain provisions which, through reference in this text, constitute provisions of the present document.

- References are either specific (identified by date of publication, edition number, version number, etc.) or non-specific.
- For a specific reference, subsequent revisions do not apply.
- For a non-specific reference, the latest version applies. In the case of a reference to a 3GPP document (including a GSM document), a non-specific reference implicitly refers to the latest version of that document *in the same Release as the present document*.

- [1] 3GPP TS 25.211: "Physical channels and mapping of transport channels onto physical channels (FDD)".
- [2] 3GPP TS 25.212: "Multiplexing and channel coding (FDD)".
- [3] 3GPP TS 25.213: "Spreading and modulation (FDD)".
- [4] 3GPP TS 25.214: "Physical layer procedures (FDD)".
- [5] 3GPP TS 25.215: "Physical layer – Measurements (FDD)".
- [6] 3GPP TS 25.221: "Physical channels and mapping of transport channels onto physical channels (TDD)".
- [7] 3GPP TS 25.222: "Multiplexing and channel coding (TDD)".
- [8] 3GPP TS 25.223: "Spreading and modulation (TDD)".
- [9] 3GPP TS 25.224: "Physical layer procedures (TDD)".
- [10] 3GPP TS 25.225: "Physical layer – Measurements (TDD)".
- [11] 3GPP TR 25.833: "Physical layer items not for inclusion in Release '99".
- [12] 3GPP TR 25.944: "Channel coding and multiplexing examples".
- [13] 3GPP TS 25.301: "Radio Interface Protocol Architecture".
- [14] 3GPP TS 25.302: "Services provided by the physical layer".
- [15] 3GPP TS 25.101: "UE Radio transmission and reception (FDD)".
- [16] 3GPP TS 25.102: "UE Radio transmission and reception (TDD)".
- [17] 3GPP TS 25.104: "BTS Radio transmission and reception (FDD)".
- [18] 3GPP TS 25.105: "BTS Radio transmission and reception (TDD)".

## 3 Abbreviations

For the purposes of the present document, the following abbreviations apply:

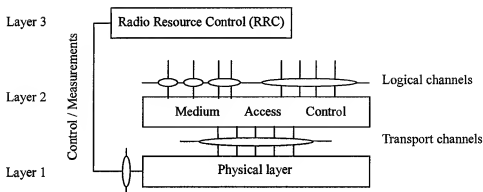
16QAM	16 Quadrature Amplitude Modulation
ARQ	Automatic Repeat Request
BER	Bit Error Rate
CCTrCH	Coded Composite Transport Channel
DCA	Dynamic channel allocation
DCH	Dedicated Channel
DS-CDMA	Direct-Sequence Code Division Multiple Access
DSCH	Downlink Shared Channel
DwPCH	Downlink Pilot Channel
DwPTS	Downlink Pilot Time Slot
E-DCH	Enhanced Dedicated Channel
E-HICH	E-DCH Hybrid ARQ Indicator Channel
E-RGCH	E-DCH Relative Grant Channel
FDD	Frequency Division Duplex
FEC	Forward Error Correction
FER	Frame Error Rate
GSM	Global System for Mobile Communication
HS-DSCH	High Speed Downlink Shared channel
L1	Layer 1 (physical layer)
L2	Layer 2 (data link layer)
L3	Layer 3 (network layer)
LAC	Link Access Control
MAC	Medium Access Control
Mcps	Mega Chip Per Second
QPSK	Quaternary Phase Shift Keying
RACH	Random Access Channel
RF	Radio Frequency
RLC	Radio Link Control
RRC	Radio Resource Control
SAP	Service Access Point
SCH	Synchronisation Channel
SIR	Signal-to-Interference Ratio
TDD	Time Division Duplex
TDMA	Time Division Multiple Access
TFCI	Transport-Format Combination Indicator
UE	User Equipment
UMTS	Universal Mobile Telecommunications System
UpPTS	Uplink Pilot Time Slot
UpPCH	Uplink Pilot Channel
UTRA	UMTS Terrestrial Radio Access
UTRAN	UMTS Terrestrial Radio Access Network
WCDMA	Wide-band Code Division Multiple Access

## 4 General description of Layer 1

### 4.1 Relation to other layers

#### 4.1.1 General Protocol Architecture

Radio interface which is prescribed by this specification means the Uu point between User Equipment (UE) and network. The radio interface is composed of Layers 1, 2 and 3. Layer 1 is based on WCDMA/TD-SCDMA technology and the TS 25.200 series describes the Layer-1 specification. Layers 2 and 3 of the radio interface are described in the TS 25.300 series.



**Figure 1: Radio interface protocol architecture around the physical layer**

Figure 1 shows the UTRA radio interface protocol architecture around the physical layer (Layer 1). The physical layer interfaces the Medium Access Control (MAC) sub-layer of Layer 2 and the Radio Resource Control (RRC) Layer of Layer 3. The circles between different layer/sub-layers indicate Service Access Points (SAPs). The physical layer offers different Transport channels to MAC. A transport channel is characterized by how the information is transferred over the radio interface. MAC offers different Logical channels to the Radio Link Control (RLC) sub-layer of Layer 2. A logical channel is characterized by the type of information transferred. Physical channels are defined in the physical layer. There are two duplex modes: Frequency Division Duplex (FDD) and Time Division Duplex (TDD). In the FDD mode a physical channel is characterized by the code, frequency and in the uplink the relative phase (I/Q); in addition E-HICH and E-RGCH are also defined by a specific orthogonal signature sequence. In the TDD mode the physical channels are also characterized by the timeslot. The physical layer is controlled by RRC.

#### 4.1.2 Service provided to higher layers

The physical layer offers data transport services to higher layers. The access to these services is through the use of transport channels via the MAC sub-layer. The physical layer is expected to perform the following functions in order to provide the data transport service. See also TS 25.302:

- Macrodiversity distribution/combining and soft handover execution.
- Error detection on transport channels and indication to higher layers.
- FEC encoding/decoding of transport channels.
- Multiplexing of transport channels and demultiplexing of coded composite transport channels (CCTrCHs).
- Rate matching of coded transport channels to physical channels.
- Mapping of coded composite transport channels on physical channels.
- Power weighting and combining of physical channels.
- Modulation and spreading/demodulation and despreading of physical channels.
- Frequency and time (chip, bit, slot, frame) synchronisation.
- Radio characteristics measurements including FER, SIR, Interference Power, etc., and indication to higher layers.
- Inner - loop power control.
- RF processing. (Note: RF processing is defined in TS 25.100 series).
- synchronization shift control
- Beamforming
- Hybrid ARQ soft-combining for HS-DSCH and E-DCH

When network elements (UEs and network) provide compatible service bearers (for example support a speech bearer) they should be assured of successful interworking. Moreover, different implementation options of the same (optional) feature would lead to incompatibility between UE and network. Therefore, this shall be avoided.

## 4.2 General description of Layer 1

### 4.2.1 Multiple Access

The access scheme is Direct-Sequence Code Division Multiple Access (DS-CDMA) with information either spread over approximately 5 MHz (FDD and 3.84 Mcps TDD) bandwidth, thus also often denoted as Wideband CDMA (WCDMA) due that nature, or 1.6MHz (1.28Mcps TDD), thus also often denoted as Narrowband CDMA. UTRA has two modes, FDD (Frequency Division Duplex) & TDD (Time Division Duplex), for operating with paired and unpaired bands respectively. The possibility to operate in either FDD or TDD mode allows for efficient utilisation of the available spectrum according to the frequency allocation in different regions. FDD and TDD modes are defined as follows:

**FDD:** A duplex method whereby uplink and downlink transmissions use two separated radio frequencies. In the FDD, each uplink and downlink uses the different frequency band. A pair of frequency bands which have specified separation shall be assigned for the system.

**TDD:** A duplex method whereby uplink and downlink transmissions are carried over same radio frequency by using synchronised time intervals. In the TDD, time slots in a physical channel are divided into transmission and reception part. Information on uplink and downlink are transmitted reciprocally.

UTRA TDD has two options, the 3.84Mcps option and the 1.28Mcps option. In UTRA TDD there is TDMA component in the multiple access in addition to DS-CDMA. Thus the multiple access has been also often denoted as TDMA/CDMA due added TDMA nature.

A 10 ms radio frame is divided into 15 slots (2560 chip/slot at the chip rate 3.84 Mcps). A physical channel is therefore defined as a code (or number of codes) and additionally in TDD mode the sequence of time slots completes the definition of a physical channel. In FDD, for HS-DSCH, E-DCH and associated signalling channels, 2ms sub-frames consisting of 3 slots are defined.

The information rate of the channel varies with the symbol rate being derived from the 3.84 Mcps chip rate and the spreading factor. Spreading factors are from 256 to 2 with FDD uplink, from 512 to 4 with FDD downlink, and from 16 to 1 for TDD uplink and downlink. Thus the respective modulation symbol rates vary from 1920 k symbols/s to 15 k symbols/s (7.5 k symbols/s) for FDD uplink (downlink), and for TDD the momentary modulation symbol rates shall vary from 3.84 M symbols/s to 240 k symbols/s.

For 1.28Mcps TDD option, a 10 ms radio frame is divided into two 5ms sub-frames. In each sub-frame, there are 7 normal time slots and 3 special time slots. A basic physical channel is therefore characterised by the frequency, code and time slot.

The information rate of the channel varies with the symbol rate being derived from the 1.28 Mcps chiprate and the spreading factor. Spreading factors is from 16 to 1 for both uplink and downlink. Thus the respective modulation symbol rates shall vary from 80.0K symbols/s to 1.28M symbols/s.

### 4.2.2 Channel coding and interleaving

For the channel coding in UTRA two options are supported for FDD and three options are supported for TDD:

- Convolutional coding.
- Turbo coding.
- No coding (only TDD).

Channel coding selection is indicated by higher layers. In order to randomise transmission errors, bit interleaving is performed further.

### 4.2.3 Modulation and spreading

The UTRA modulation scheme is QPSK (8PSK is also used for 1.28Mcps TDD option). For HS-DSCH transmission, 16QAM can also be used. Pulse shaping is specified in the TS 25.100 series.

With CDMA nature the spreading (& scrambling) process is closely associated with modulation. In UTRA different families of spreading codes are used to spread the signal:

- For separating channels from same source, channelisation codes derived with the code tree structure as given in TS 25.213 and 25.223 are used.
- For separating different cells the following solutions are supported.
- FDD mode: Gold codes with 10 ms period (38400 chips at 3.84 Mcps) used, with the actual code itself length  $2^{18}-1$  chips, as defined in TS 25.213.
- TDD mode: Scrambling codes with the length 16 used as defined in TS 25.223.
- For separating different UEs the following code families are defined.
- FDD mode: Gold codes with 10 ms period, or alternatively S(2) codes 256 chip period.
- TDD mode: codes with period of 16 chips and midamble sequences of different length depending on the environment.

### 4.2.4 Physical layer procedures

There are several physical layer procedures involved with UTRA operation. Such procedures covered by physical layer description are:

- 1) The power control, inner loop for FDD mode, and for 3.84Mcps TDD option open loop in uplink and inner loop in downlink, for 1.28Mcps TDD option, open loop in uplink and inner loop in both uplink and downlink.
- 2) Cell search operation.
- 3) Uplink synchronization control with open and closed loop.
- 4) Random access
- 5) Procedures related to HS-DSCH transmission.
- 6) Procedures related to E-DCH transmission.

### 4.2.5 Physical layer measurements

Radio characteristics including FER, SIR, Interference power, etc., are measured and reported to higher layers and network. Such measurements are:

- 1) Handover measurements for handover within UTRA. Specific features being determined in addition to the relative strength of the cell, for the FDD mode the timing relation between for cells for support of asynchronous soft handover.
- 2) The measurement procedures for preparation for handover to GSM900/GSM1800.
- 3) The measurement procedures for UE before random access process.
- 4) The measurement procedures for Dynamic Channel Allocation (DCA) of TDD mode.
- 5) UTRAN measurements.

## 4.2.6 Relationship of the physical layer functions

The functionality of the layer 1 is split over several specifications each for FDD and TDD. The following figures, although not categorical, show as an introduction the relationship of layer 1 functions by specification in terms of users plane information flow.

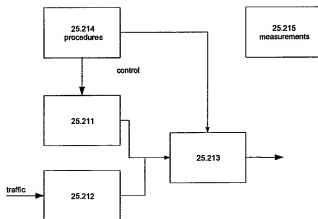


Figure 2 - FDD layer 1 functions relationships by specification

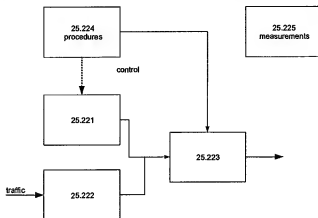


Figure 3 - TDD layer 1 functions relationships by specification

---

## 5 Document structure of physical layer specification

### 5.1 Overview

The physical layer specification consists of a general document (TS 25.201), five FDD mode documents (TS 25.211 through 25.215), five TDD mode documents (TS 25.221 through 25.225). In addition, there are two technical reports (TR 25.833 and 25.944).

### 5.2 TS 25.201: Physical layer – General description

The scope is to describe:

- the contents of the Layer 1 documents (TS 25.200 series);
- where to find information;

- a general description of Layer 1.

### 5.3 TS 25.211: Physical channels and mapping of transport channels onto physical channels (FDD)

The scope is to establish the characteristics of the Layer-1 transport channels and physical channels in the FDD mode, and to specify:

- the different transport channels that exist;
- which physical channels exist;
- what is the structure of each physical channel, slot format etc.;
- relative timing between different physical channels in the same link, and relative timing between uplink and downlink;
- mapping of transport channels onto the physical channels.

### 5.4 TS 25.212: Multiplexing and channel coding (FDD)

The scope is to describe multiplexing, channel coding and interleaving in the FDD mode, and to specify:

- coding and multiplexing of transport channels into CCTrCHs;
- channel coding alternatives;
- coding for Layer 1 control information, such as TPFCI;
- the different interleavers;
- how is rate matching done;
- physical channel segmentation and mapping.

### 5.5 TS 25.213: Spreading and modulation (FDD)

The scope is to establish the characteristics of the spreading and modulation in the FDD mode, and to specify:

- the spreading (channelisation plus scrambling);
- generation of channelisation and scrambling codes;
- generation of RACH preamble codes;
- generation of SCH synchronisation codes;
- modulation.

RF channel arrangements and Pulse shaping are specified in TS 25.101 for UE and in TS 25.104 for Node-B.

### 5.6 TS 25.214: Physical layer procedures (FDD)

The scope is to establish the characteristics of the physical layer procedures in the FDD mode, and to specify:

- cell search procedures;
- power control procedures;
- random access procedure.

## 5.7 TS 25.215: Physical layer – Measurements (FDD)

The scope is to establish the characteristics of the physical layer measurements in the FDD mode, and to specify:

- the measurements that Layer 1 is to perform;
- reporting of measurements to higher layers and network;
- handover measurements, idle-mode measurements etc.

## 5.8 TS 25.221: Physical channels and mapping of transport channels onto physical channels (TDD)

The scope is to establish the characteristics of the Layer-1 transport channels and physical channels in the TDD mode, and to specify:

- transport channels;
- physical channels, structure and contents;
- mapping of transport channels onto the physical channels.

## 5.9 TS 25.222: Multiplexing and channel coding (TDD)

The scope is to describe multiplexing, channel coding and interleaving in the TDD mode, and to specify:

- channel coding and multiplexing of transport channels into CCTrCHs;
- channel coding alternatives;
- coding for Layer 1 control information, such as TFCI;
- interleaving;
- rate matching;
- physical channel segmentation and mapping.

## 5.10 TS 25.223: Spreading and modulation (TDD)

The scope is to establish the characteristics of the spreading and modulation in the TDD mode, and to specify:

- data modulation;
- spreading;
- generation of synchronisation codes.

RF channel arrangements and Pulse shaping are specified in TS 25.102 for UE and in TS 25.105 for Node-B.

## 5.11 TS 25.224: Physical layer procedures (TDD)

The scope is to establish the characteristics of the physical layer procedures in the TDD mode, and to specify:

- cell synchronisation;
- timing advance;
- power control procedures;
- idle mode tasks.

## 5.12 TS 25.225: Physical layer – Measurements (TDD)

The scope is to establish the characteristics of the physical layer measurements in the TDD mode, and to specify:

- the measurements that Layer 1 is to perform;
- reporting of measurements to higher layers and network;
- handover measurements, idle-mode measurements etc.

## 5.13 TR 25.833: Physical layer items not for inclusion in Release '99

The scope is to collect materials on UTRA physical layer items not included in the Release '99 specification documents, such as DSCH control channel, FAUSCH, Hybrid ARQ, 4-state SCCC turbo coding and ODMA.

## 5.14 TR 25.944: Channel coding and multiplexing examples

The scope is to describe examples of channel coding and multiplexing for transport channels of various types and cases.

## Annex A (informative): Preferred mathematical notations

The following table contains the preferred mathematical notations used in L1 documentation.

item	notation
multiply product	cross sign, e.g. $a \times b$
matrix product	dot sign, e.g. $a \cdot b$
scalar product (product of a matrix by a scalar)	dot sign, scalar should precede matrix e.g. $(1+j) \cdot \begin{bmatrix} u \\ v \end{bmatrix}$
matrix dimensioning	number of rows $\times$ number of column, e.g.: $R \times C$
Kronecker product	$a \otimes b$
bracketing of sets (all elements of same type, not ordered elements)	curly brackets {}, e.g. $\{a_1, a_2, \dots, a_p\}$ , or $\{a_i\}_{i \in \{1, 2, \dots, p\}}$
bracketing of lists (all elements not necessary of same type, ordered elements)	round brackets (), e.g. (A, u, x)
bracketing of sequences (all elements of same type, ordered elements)	angle brackets, e.g. $\langle a_1, a_2, \dots, a_p \rangle$ or $\langle a_i \rangle_{i \in \{1, 2, \dots, p\}}$
bracketing of function argument	round brackets, e.g. $f(x)$
bracketing of array index	square brackets, e.g. $a[x]$
bracketing of matrix or vector	square brackets [], e.g. $\begin{bmatrix} x \\ y \end{bmatrix}$ , $\begin{bmatrix} x & y \end{bmatrix}$ , or $\begin{bmatrix} 1 & 1 \\ 1 & -1 \end{bmatrix}$
Separation of indexes	use a comma : e.g. $N_{i,j}$
use of italic for symbols	a symbol should be either in italic or in normal font, but mixing up should be avoided.
bracketing of arithmetic expression to force precedence of operations	round brackets : e.g. $(a+b) \times c$
necessity of bracketing arithmetic expressions	When only + and $\times$ bracketing is not necessary. When the <b>mod</b> operator is used explicit bracketing of mod operands and possibly result should be done.
number type	in a context of non negative integer numbers, some notes should stress when a number is signed, or possibly fractional.
binary xor and and	respectively use + or $\cdot$ . If no "mod 2" is explicitly in the expression some text should stress that the operation is modulo 2.
matrix or vector transpose	$v^t$
1x1 matrices	implicitly cast to its unique element.
vector dot product	$u^t \cdot v$ for column vectors, and $u \cdot v^t$ for line vectors
complex conjugate	$v^*$
matrix or vector Hermitian transpose	$v^H$
real part and imaginary part of complex numbers.	$\text{Re}(x)$ and $\text{Im}(x)$

## Annex B (informative): Change history

Change history							
Date	TSG #	TSG Doc.	CR	Rev	Subject/Comment	Old	New
14/01/00	RAN_05	RP-99586	-	-	Approved at TSG RAN #5 and placed under Change Control	-	3.0.0
	-	-	-	-	Modified in terms of formality. The contents were not changed.	3.0.0	3.0.1
31/03/00	RAN_07	RP-000059	001	-	Editorial revision	3.0.1	3.0.2
26/06/00	RAN_08	RP-000264	002	-	Corrections to align with TS 25.212 and TR 25.944	3.0.2	3.1.0
26/06/00	RAN_08	RP-000264	003	1	Editorial corrections	3.0.2	3.1.0
26/06/00	RAN_08	RP-000264	004	-	Physical layer information flow	3.0.2	3.1.0
26/06/00	RAN_08	RP-000264	005	1	Preferred mathematical notation for editorial unity of L1 documentation	3.0.2	3.1.0
16/03/01	RAN_11	-	-	-	Approved as Release 4 specification (v4.0.0) at TSG RAN #11	3.1.0	4.0.0
16/03/01	RAN_11	RP-010071	008	1	Inclusion of 1.28Mcps TDD in TS 25.201	3.1.0	4.0.0
14/12/01	RAN_14	RP-010735	008	-	Removal of slow power control and ODMA from TS 25.201	4.0.0	4.1.0
08/03/02	RAN_15	RP-020231	010	1	Removal of channel coding option "no coding" for FDD	4.1.0	4.2.0
08/03/02	RAN_15	RP-020058	013	-	Specification of HS-DSCH for Release 5 in 25.201	4.1.0	5.0.0
07/06/02	RAN_16	RP-020306	017	-	Downlink bit mapping	5.0.0	5.1.0
10/09/02	RAN_17	RP-020580	018	-	Correction on the description of TS and layer	5.1.0	6.2.0
13/01/04	RAN_22	-	-	-	Created for M.1457 update	6.2.0	6.0.0
13/12/04	RAN_26	RP-040449	019	-	Introduction of E-DCH	6.0.0	6.1.0
16/06/05	RAN_28	RP-050250	021	-	Feature Clean Up: Removal of "CPCH"	6.1.0	6.2.0